



ATTORNEY DOCKET No.: 0079571-0110 (BU04-17 US)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** J. Porco, *et al.* **Examiner:** To be assigned  
**Serial No.:** 10/593,502 **Group Art Unit:** To be assigned  
**Filing Date:** September 20, 2006  
**Title:** Synthesis of Rocaglamide Natural Products via Photochemical Generation of Oxidopyrylium Species

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL LETTER**

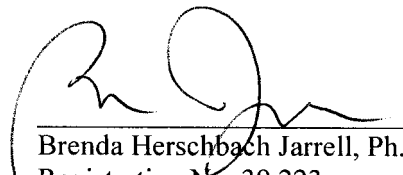
Enclosed are the following documents:

1. Form PTO-1449 (**4** pages);
2. Information Disclosure Statement (**6** pages);
3. Cited Art (**45**); and
4. Return Postcard.

If any additional fees are required to be paid or if any overpayment has been made, please charge same to Deposit Account No. 03-1721

Respectfully submitted,

Dated: May 22, 2007

  
Brenda Herschbach Jarrell, Ph.D.  
Registration No. 39,223

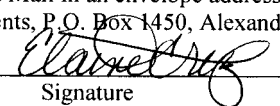
CHOATE, HALL & STEWART LLP  
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May 22, 2007

Date

  
Signature

Elaine Cruz

Typed or Printed Name of person signing certificate



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Sir:

**STATEMENT FILED PURSUANT TO THE  
DUTY OF DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicant requests consideration of this Information Disclosure Statement.

**Type of Statement**

The present Information Disclosure Statement is:

☒ An ***original*** Information Disclosure Statement; or

☐ A ***supplemental*** Information Disclosure Statement.

Compliance with 37 CFR § 1.97

The present Information Disclosure Statement is being filed:

- ☒ Pursuant to 37 CFR § 1.97(b); no fee or certification is required:
- ☐ Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
  - ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
  - ☒ Before the mailing of a first Office action on the merits; or
  - ☐ Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☐ Pursuant to 37 CFR § 1.97(c) after the dates listed above but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *either*:
- ☐ Certifies that *either*:
    - ☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
    - ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the

knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; or

☐ Includes herewith the fee set forth in § 1.17(p).

☐ Pursuant to 37 CFR § 1.97(d), after the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *both*:

☐ Certifies that *either*:

☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement.; and

### Content of the Information Disclosure Statement

Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

Applicant includes copies of references as indicated below:

- ☒ [X] A copy of each cited reference not indicated with a \* is included;
- ☐ [ ] Copies of references indicated with a † on the attached form PTO-1449 are not included pursuant to 37 CFR § 1.98(d) because they were previously provided/cited to the United States Patent Office in an Information Disclosure Statement that complies with 37 CFR § 1.98(a)-(c) and was submitted in the following patent application that is relied upon in the present case for an earlier effective filing date under 35 USC § 120:
- ☐ [ ] Copies of English translations of one or more non-English references are included.

Applicant hereby makes the following additional information of record in the above-identified application:

Applicant certifies that the Information Disclosure Statement *either*:

- ☒ [X] Does not contain non-English language citations;
- ☐ [ ] Does contain non-English language citations, of which an English language translation of the Abstract for each is provided herein:
- ☐ [ ] Includes one or more translations of a non-English citation.

Remarks

The submission of this Information Disclosure Statement should not be construed as a representation that a search has been made.

The submission of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b) .

The submission of this Information Disclosure Statement shall not be construed as a representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

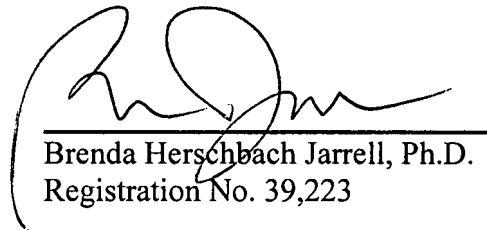
It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited patent(s) and publication(s) has (have) been fully considered by the Patent and Trademark Office during the examination of this application; and
3. The citations for the patent(s) and publication(s) be printed on any patent which issues from this application.

Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

Respectfully submitted,

Dated: May 22, 2007



Brenda Herschbach Jarrell, Ph.D.  
Registration No. 39,223

CHOATE, HALL & STEWART, LLP  
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Two International Place  
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<b>Form PTO-1449</b> <b>(REV. 8-83)</b>		U.S. Department of Commerce Patent and Trademark Office		Attorney Docket 0079571-0110		In re Application No. 10/593,502	
<b>INFORMATION DISCLOSURE STATEMENT</b> (Use several sheets if necessary)				Applicant: Porco, <i>et al.</i>			
				Filing Date: September 20, 2006		Group: NYA	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner's Initials	U.S. Patent No.	Applicant	Issue Date	Class	Subclass		
<b>U.S. PATENT APPLICATIONS</b>							
Examiner's Initials:	Serial Number:	Applicant:	Filing Date:	Group:	Art Unit:		
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner's Initials	Document No.	Country	International Publication Date	Translation			
				Yes	No		
<b>OTHER DOCUMENTS</b>							
Examiner's Initials	Citation (Including Author, Title, Date, Pertinent Pages, Etc.)						
	Bacher <i>et al.</i> , "Thapsakins: possible biogenetic intermediates towards insecticidal cyclopenta[b]benzofurans from <i>Aglaia edulis</i> ", <i>Phytochemistry</i> , <b>1999</b> , 52: 253-263						
	Bader <i>et al.</i> , "Proton transfer in 3-hydroxylavone studied by high-resolution 10 K laser-excited Shpol'skii spectroscopy", <i>J. Phys. Chem. A</i> , <b>2002</b> , 106: 2844-2849						
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	Bohnenstengel <i>et al.</i> , "1H-cyclopenta[b]benzofuran lignans from <i>Aglaia</i> species inhibit cell proliferation and alter cell cycle distribution in human monocytic leukemia cell lines", <i>Z. Naturforsch. [C]</i> , <b>1999</b> , 54: 1075-1083						
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	Synthesis of Intermediates and Analogues of Valine and Isoleucine Biosynthesis", <i>J. Chem. Soc. Chem. Commun.</i> , <b>1987</b> , 290-291		
	Creary <i>et al.</i> , "Diels-Alder approach to bicyclic .alpha.-hydroxy ketones. Facile ketol rearrangements of strained .alpha.-hydroxy ketones", <i>J. Org. Chem.</i> , <b>1985</b> , 50: 1932-1938		
	Dumontet <i>et al.</i> , "New nitrogenous and aromatic derivatives from <i>Aglaia argentwa</i> and <i>A. forbesii</i> ", <i>Tetrahedron</i> , <b>1996</b> , 52: 6931-6942		
	Fahrig <i>et al.</i> , "A Synthetic Derivative of the Natural Product Rocaglaol Is a Potent Inhibitor of Cytokine-Mediated Signaling and Shows Neuroprotective Activity in Vitro and in Animal Models of Parkinson's Disease and Traumatic Brain Injury", <i>Mol. Pharmacol.</i> , <b>2005</b> , 67: 1544-1555.		
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	Hailes <i>et al.</i> , "A biomimetic approach to the synthesis of rocaglamide based on a photochemical [2+2] cycloaddition of a cinnamate unit to a flavone", <i>Tetrahedron Lett.</i> , <b>1993</b> , 34: 5313-5316		
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	Itoh, "Fluorescence studies of the excited-state proton transfer in substituted 3-hydroxychromones in supersonic jet", <i>Pure and Applied Chemistry</i> , <b>1993</b> , 65: 1629-1634		
	Ishibashi <i>et al.</i> , "Insecticidal 1H-Cyclopentatetrahydro[b]Benzofurans from <i>Aglaia Odorata</i> ", <i>Phytochemistry</i> , <b>1993</b> , 32: 307-310		
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Soc.</i>, 2001, 48: 201-206         </td> </tr> <tr> <td data-bbox="34 588 256 678"></td> <td data-bbox="256 588 1555 678">           Lui <i>et al.</i>, "A general protocol for the hydroxylation of C-14 in gibberellins: synthesis of 14<math>\beta</math>-hydroxy-GA<sub>1</sub> methyl ester", <i>Tetrahedron</i>, <b>1998</b>, 54: 11637-11650         </td> </tr> <tr> <td data-bbox="34 678 256 768"></td> <td data-bbox="256 678 1555 768">           Mandal <i>et al.</i>, "Evidence of ground-state proton-transfer reaction of 3-hydroxyflavone in neutral alcoholic solvents", <i>J. Phys. Chem. A</i>, 2003; 107: 6334-6339         </td> </tr> <tr> <td data-bbox="34 768 256 858"></td> <td data-bbox="256 768 1555 858">           Matsuura and Takemo, "Photoinduced reactions. 61. 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Chem.</i>, <b>2001</b>, 5: 923-938         </td> </tr> <tr> <td data-bbox="34 1129 256 1220"></td> <td data-bbox="256 1129 1555 1220">           Piers <i>et al.</i>, "Sequential anionic 1,3-ester shifts and intramolecular stille couplings: a new protocol for the concise assembly of functionalized polycyclic dienes", <i>Synlett.</i>, <b>1999</b>, 7: 1082-1084         </td> </tr> <tr> <td data-bbox="34 1220 256 1310"></td> <td data-bbox="256 1220 1555 1310">           Roschal <i>et al.</i>, "Flavonols and Crown-Flavonols as Metal Cation Chelators. The Different Nature of Ba<sup>2+</sup> and Mg<sup>2+</sup> Complexes", <i>J. Phys. Chem. A</i>, 1998, 102: 5907-5914         </td> </tr> <tr> <td data-bbox="34 1310 256 1400"></td> <td data-bbox="256 1310 1555 1400">           Sammes <i>et al.</i>, "The preparation and some reactions of 3-oxidopyrylium", <i>J. Chem. Soc. Perkin Trans. 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		Synthesis of (+)-Resiniferatoxin", <i>J. Am. Chem. Soc.</i> , <b>1997</b> , 119: 12976-12977	
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